



10/053115

DFW
DAC

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: S.V. Kauffman
Patent No. 6,961,734
Issued November 1, 2005 Docket No.: STL920000050US1
TITLE: METHOD, SYSTEM, AND PROGRAM FOR DEFINING ASSET CLASSES
IN A DIGITAL LIBRARY

PETITION FOR CORRECTION OF INVENTORSHIP PURSUANT TO 37 CFR 1.324

Commissioner for Patents
Office of Petitions
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR 1.324, correction of the inventorship is requested in the above case to add Jerry Duaine Robertson as an inventor. Applicants submit the following items with this request required under 37 CFR 1.324(b):

1. A statement from Jerry D. Robertson, who is being added as an inventor, that the inventorship error occurred without any deceptive intention on his part.
2. A statement from the current named inventor Steven V. Kauffman agreeing with the change of inventorship.
3. A statement from the assignee of the parties agreeing to the change of inventorship, including a statement under 37 CFR 3.73(b).
4. The fee set forth in 37 CFR 1.20(b)

Applicants submit that all the above submitted documents and fees satisfy the requirements for correcting the inventorship under 37 CFR 1.324, and such correction is requested.

\\

\\

\\

03/15/2006 NNGUYEN1 00000051 090460 6961734

01 FC:1464 130.00 DA

The attorney of record invites the Examiner to contact him at (310) 553-7977 if the Examiner believes such contact would advance the prosecution of the case.

Dated: March 9, 2006

By: 
David W. Victor
Reg. No.: Registration No. 39,867

Please direct all correspondences to:

David W. Victor
Konrad Raynes & Victor, LLP
315 South Beverly Drive, Ste. 210
Beverly Hills, CA 90212
Tel: (310) 553-7977
Fax: 310-556-7984

PTO/SB/17
0055.0049

FEE TRANSMITTAL for FY 2005	Patent Number	6,961,734
	Issue Date	November 1, 2005
	Inventor	S.V. Kauffman
	Attorney Docket Number	STL920000050US1
Total Amount of Payment: \$130		

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge the indicated fees and/or credit any overpayments to Deposit Account Number: 09-0460
☒ Charge any additional fee required under 37 CFR 1.16 and 1.17
☒ Charge any deficiency or credit any overpayment

2. ☐ Payment enclosed:

- ☐ Ck. No. _____ for \$ _____
☐ Ck. No. _____ for \$40
☐ Credit Card Approval for _____

FEE CALCULATION

1. ☐ BASIC FILING FEE
Utility Filing Fee:
Large Entity Fee Code 1011 \$300.00
2. ☐ UTILITY SEARCH FEE \$500.00
3. ☐ UTILITY EXAMINATION FEE \$200.00
4. ☐ EXTRA CLAIMS FEES
Total Claims ____ - 20* x \$50= \$ ____
Ind. Claims ____ - 3* x \$200= \$ ____
Multiple Dependent 0 x \$360= \$0
- Subtotal \$ ____

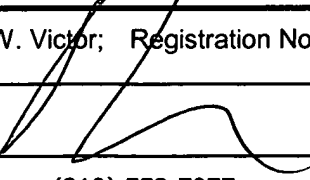
*(or number previously paid for)

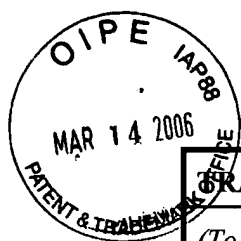
FEE CALCULATION (continued)

3. ADDITIONAL FEES (large entity)
- | | |
|--|--------|
| <input type="checkbox"/> Surcharge- late filing fee or oath | \$130 |
| <input type="checkbox"/> Surcharge- late provisional filing fee or cover sheet | \$50 |
| <input type="checkbox"/> Non-English specification | \$130 |
| <input type="checkbox"/> International type search report | \$40 |
| <input type="checkbox"/> Requesting publication of SIR prior to action | \$920 |
| <input type="checkbox"/> Requesting publication of SIR after action | \$1840 |
| <input type="checkbox"/> Extension for reply- first month | \$120 |
| <input type="checkbox"/> Extension for reply- second month | \$450 |
| <input type="checkbox"/> Extension for reply- third month | \$1020 |
| <input type="checkbox"/> Extension for reply- fourth month | \$1590 |
| <input type="checkbox"/> Extension for reply- fifth month | \$2160 |
| <input type="checkbox"/> Notice of Appeal | \$500 |
| <input type="checkbox"/> Brief in Support of Appeal | \$500 |
| <input type="checkbox"/> Request for Oral Hearing | \$1000 |
| <input type="checkbox"/> Utility issue fee | \$1400 |
| <input type="checkbox"/> Petition to revive (unavoidable) | \$500 |
| <input type="checkbox"/> Petition to revive (unintentional) | \$1500 |
| <input checked="" type="checkbox"/> Petitions to the Commissioner | \$130 |
| <input type="checkbox"/> Petitions related to provisional applications | \$50 |
| <input type="checkbox"/> Submission of Information Disclosure Statement | \$180 |
| <input type="checkbox"/> Recordation of Assignment | \$40 |
| <input type="checkbox"/> Submission after final (37 CFR 1.129(a)) | \$790 |
| <input type="checkbox"/> Request for Continued Examination (RCE) | \$790 |
| <input type="checkbox"/> Other: | |

SUBTOTAL \$ 130

Submitted by:

Firm or Individual Name:	David W. Victor; Registration No. 39,867	Customer No. 47069
Signature:		
Date: <u>March 10, 2006</u>	Telephone: (310) 553-7977	

PTO/SB/21
0055.0049

TRANSMITTAL FORM	Patent Number	6,961,734
<i>(To be used for all correspondence after initial filing)</i>	Issue Date	November 1, 2005
	Inventor	S.V. Kauffman
	Attorney Docket Number	STL920000050US1
Total Number of Pages in this Submission: 10		

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits /Declarations <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement; ___ references <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an application) <input type="checkbox"/> Formal Drawings: ___ sheets <input type="checkbox"/> Licensing-related papers <input checked="" type="checkbox"/> Petition for Correction of Inventorship Pursuant to 37 CFR 1.324 <input checked="" type="checkbox"/> Statement Submitted Pursuant to 37 CFR 1.324(b)(3) <input checked="" type="checkbox"/> Statement Under 37 CFR 3.73(b) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) ___ <input type="checkbox"/> After Allowance Communication to Group	<input type="checkbox"/> Certificate of Correction of Applicant's Mistake (37 CFR 1.323) <input type="checkbox"/> Certificate of Correction of Office Mistake (37 CFR 1.322) <input type="checkbox"/> Appeal Communication to Group (<i>Appeal Notice, Brief, Reply Brief</i>) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input checked="" type="checkbox"/> Declaration Submitted Pursuant to 37 CFR 1.324(b)(1) <input checked="" type="checkbox"/> Declaration Submitted Pursuant to 37 CFR 1.324(b)(2)
---	--	---

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name:	David W. Victor, Registration No. 39,867
Signature:	
Date:	March 10, 2006
KONRAD RAYNES & VICTOR, LLP 315 South Beverly Drive, Suite 210 Beverly Hills, California 90212 (310) 556-7983	
<input checked="" type="checkbox"/> The Commissioner is authorized to charge any deficiency of fees, or credit any overpayment, to Deposit Account No. 09-0460	

CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to Commissioner for Patents, Alexandria, VA 22313-1450, or being facsimile transmitted to the USPTO, on the date indicated below.		
Typed or Printed name:	David W. Victor	Customer No. 47069
Signature:		
Date:	March 10, 2006	



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: S.V. Kauffman
U.S. Patent No.: 6,961,734
Issued: November 1, 2005 Docket No.: STL920000050US1
TITLE: METHOD, SYSTEM, AND PROGRAM FOR DEFINING ASSET CLASSES
IN A DIGITAL LIBRARY

DECLARATION SUBMITTED PURSUANT TO 37 CFR 1.324(b)(1)

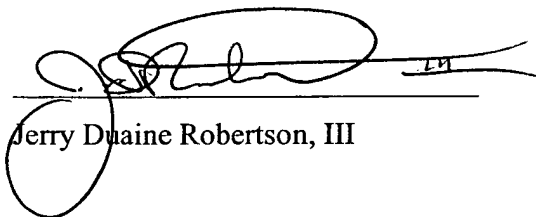
I, **JERRY DUAINE ROBERTSON, III**, declare and state as follows

The inventorship error of failing to include myself as an inventor of the above referenced patent occurred without any deceptive intent on my part.

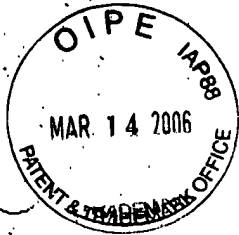
* * *

I declare under penalty of perjury that the foregoing is true and correct. I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true.

Dated: 2/6/2006



Jerry Duaine Robertson, III



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: S.V. Kauffman

U.S. Patent No.: 6,961,734

Issued: November 1, 2005

Docket No.: STL920000050US1

TITLE: METHOD, SYSTEM, AND PROGRAM FOR DEFINING ASSET CLASSES
IN A DIGITAL LIBRARY

DECLARATION SUBMITTED PURSUANT TO 37 CFR 1.324(b)(2)

I, **STEVEN VICTOR KAUFFMAN**, declare and state as follows

1. I am a named inventor in the above referenced patent.
2. I agree with the inventorship change in the above referenced patent to add Jerry Duaine Robertson, III as an inventor.

I declare under penalty of perjury that the foregoing is true and correct. I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true.

Dated: 2/10/06


Steven Victor Kauffman



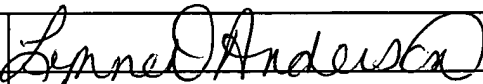
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): S.V. Kauffman Examiner Te Y. Chen
U.S. Patent No 6,961,734 Group Art Unit 2161
Issued November 1, 2005 Docket No. STL920000050US1
TITLE METHOD, SYSTEM, AND PROGRAM FOR DEFINING ASSET
CLASSES IN A DIGITAL LIBRARY

STATEMENT SUBMITTED PURSUANT TO 37 CFR 1.324(b)(3)

As assignee of record of the entire interest (Statement under 37 CFR 3.73(b) is enclosed)
in the above referenced patent, I agree to the change of inventorship in the above referenced
patent to add Jerry Duaine Robertson, III as an inventor.

SIGNATURE of Applicant or Assignee of Record

Signature:		Date:	2-6-06
Name	Lynne D. Anderson	Title	Program Manager - U.S. Patent and Trademark Office Liaison
Company	International Business Machines Corporation		
Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.			
<input type="checkbox"/> *Total of _____ forms are submitted.			



STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: International Business Machines Corporation

Application No./Patent No.: 6,961,734

Filed/Issue Date: November 1, 2005

Entitled: METHOD, SYSTEM, AND PROGRAM FOR DEFINING ASSET CLASSES IN A DIGITAL LIBRARY

International Business Machines Corporation

Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 012533, Frame 0122, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

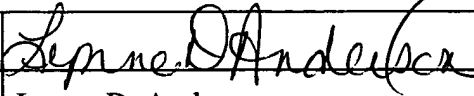
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to: Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature:		Date:	<u>2-6-06</u>
Name	<u>Lynne D. Anderson</u>	Telephone Number	<u>703-299-1455</u>
Title	<u>Program Manager - U.S. Patent and Trademark Office Liaison</u>		



LETTER OF AUTHORITY

I, Gerald Rosenthal, Vice-President, Intellectual Property and Licensing of International Business Machines Corporation (IBM), a New York corporation, do hereby delegate the authority to approve and execute documents on behalf of IBM relating to proceedings in the Patent, Trademark Registration or Copyright Offices servicing any country or region of the world, or to related appeal proceedings, including, but not limited to: petitions; powers of Attorney; authorizations; verification; nominations of representatives; declarations; documents relating to maintenance and defense of the resulting industrial property rights; assignments of rights to apply for and acquire patents and trademark registrations; and evidence of such assignments; requests for the registration of patents as available for licensing; reports of inventions and petitions for waiver of patent rights to any department or agency of the United States Government; and, assignments, licenses and other instruments confirmatory of Government rights in patents and inventions, to Lynne D. Anderson, Program Manager, Patent Office Liaison.

Date: April 6, 2004

Gerald Rosenthal
Vice President, Intellectual Property & Licensing
International Business Machines Corporation